

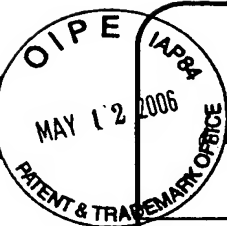
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PTO/SB/21 (04-04)

Approved for use through 07/31/2006. OMB 0651-0031  
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# TRANSMITTAL FORM

to be used for all correspondence after initial filing)

|                        |                   |
|------------------------|-------------------|
| Application Number     | 10/732,899        |
| Filing Date            | December 10, 2003 |
| First Named Inventor   | Keiji Takizawa    |
| Art Unit               | 2871              |
| Examiner Name          | QI, Zhi Qiang     |
| Attorney Docket Number | 9319S-000590      |

Total Number of Pages in This Submission

## ENCLOSURES (check all that apply)

☒ Fee Transmittal Form☐ Fee Attached☐ Amendment / Reply☐ After Final☐ Affidavits/declaration(s)☐ Extension of Time Request☐ Express Abandonment Request☒ Information Disclosure Statement☐ Certified Copy of Priority Document(s)☐ Response to Missing Parts/ Incomplete Application☐ Response to Missing Parts under 37 CFR 1.52 or 1.53☐ Drawing(s)☐ Licensing-related Papers☐ Petition☐ Petition to Convert to a Provisional Application☐ Power of Attorney, Revocation Change of Correspondence Address☐ Terminal Disclaimer☐ Request for Refund☐ CD, Number of CD(s) \_\_\_\_\_☒ After Allowance Communication to Technology Center (TC)☐ Appeal Communication to Board of Appeals and Interferences☐ Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)☐ Proprietary Information☐ Status Letter☒ Other Enclosure(s)  
(please identify below):

Form 1449 w/copies of cited references; return post card

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

Harness, Dickey &amp; Pierce, P.L.C.

Attorney Name  
G. Gregory SchivleyReg. No.  
27,382

Signature

Date

May 12, 2006

## CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name

G. Gregory Schivley

Express Mail Label No.

EV 853 856 304 US (5/12/2006)

Signature

Date

May 12, 2006

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

EV 853 856 304 US



**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application No.: 10/732,899

Filing Date: December 10, 2003

Applicant: Keiji Takizawa

Group Art Unit: 2871

Examiner: QI, Zhi Qiang

Title: COLOR FILTER SUBSTRATE, METHOD OF  
MANUFACTURING COLOR FILTER SUBSTRATE,  
ELECTRO-OPTICAL DEVICE, METHOD OF  
MANUFACTURING ELECTRO-OPTICAL DEVICE, AND  
ELECTRONIC APPARATUS

Attorney Docket: 9319S-000590

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Director of the United States Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant hereby submits an Information Disclosure Statement for consideration by the Examiner.

**I. LIST OF PATENTS, PUBLICATIONS, AND OTHER INFORMATION**

The patents, publications and other information requested to be considered by the Office (except unpublished U.S. patent applications) are listed on Form 1449 attached hereto.

05/17/2006 FFANAEIA 00000056 10732899

01 FC:1806 II. COPIES  
180.00 DA

A. ☒ Submitted herewith is a legible copy of (i) each foreign patent; (ii) each publication or that portion which caused it to be listed, other than U.S. patents and U.S. patent application publications unless required by the Office; (iii) each unpublished U.S. application listed below in Section IV (i.e., including the specification, claims, and any drawing of the application, or that portion of the application which caused it to be listed, including any claims directed to that portion), except for such applications filed on or after June 30, 2003, pursuant to the Waiver of the Copy Requirement in 37 C.F.R. 1.98 (OG Notice dated October 19, 2004); and (iv) all other information or that portion which

05/17/2006 FFANAEIA 00000056 10732899 caused it to be listed.

01 FC:1806 180.00 DA

B. ☐ Any patents, publications or other information which are listed on Form 1449 or on the copies of PTO-892, but which are not enclosed herewith, were previously cited by or submitted to the PTO in one of the following applications which has been relied upon for an earlier filing date under 35 U.S.C. § 120:

U.S. Serial Number

U.S. Filing Date

C. ☐ This is a PCT application in the entry of the National Phase in the United States. A copy of the International Search Report is attached for the Examiner's information. The documents listed on the International Search report are listed on the attached Form 1449 for consideration by the Examiner and for listing on any patent resulting from this application. If the International Search report was from the US, EPO, or JPO search authorities, copies of these references should have been supplied to the USPTO under the trilateral agreement and are believed to be in the file of the above-identified application. (MPEP 1893.03(g).)

III. CONCISE EXPLANATION OF THE RELEVANCE (check at least one box)

A. ☐ Except as may be indicated below in (B), all of the patents, publications or other information are in the English language (concise explanation not required).

B. ☒ A concise explanation of the relevance of each patent, publication or other information listed that is not in the English language is as follows (see 37 C.F.R. § 1.98(a)(3)):

1. ☒ See the attached foreign patent office communication regarding a related foreign application in: Japan

2. ☒ English translations are provided as follows: As indicated on attached Form 1449.

3. ☐ Other:

C. ☐ The following additional information is provided for the Examiner's consideration:

IV. CROSS REFERENCE TO RELATED APPLICATION(S)

A. ☐ The Examiner is advised that the following co-pending application(s) contain(s) subject matter that may be related to the present application. By bringing this(these) application(s) to the Examiner's attention, Applicant(s) does (do) not waive the confidentiality provisions of 35 U.S.C. § 122.

Serial No.

Filing Date

Inventor(s)

V. THIS IDS IS BEING FILED UNDER

A. ☐ **37 C.F.R. § 1.97(b):** (check only one box)

1. ☐ within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d) (37 C.F.R. § 1.97(b)(1)). No fee or certification is required.
2. ☐ within three months of the date of entry of the national stage as set forth in § 1.491 in an international application (37 C.F.R. § 1.97(b)(2)). No fee or certification is required.
3. ☐ before the mailing of a first Office Action on the merits (37 C.F.R. § 1.97(b)(3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the certification under 37 C.F.R. § 1.97(e) below; or, if no certification has been made, charge our deposit account a fee in the amount of \$180.00 as required by 37 C.F.R. § 1.17(p).
4. ☐ before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No fee or certification is required.

B. ☐ **37 C.F.R. § 1.97(c):** (check only one box)

before the mailing date of either any Final Office Action under 37 C.F.R. § 1.113, a Notice of Allowance under 37 C.F.R. § 1.311, or an action that otherwise closes prosecution.

1. ☐ No certification; therefore, a fee in the amount of \$180.00 is required by 37 C.F.R. § 1.17(p).
2. ☐ See the certification below. No fee is required.

C. ☒ **37 C.F.R. § 1.97(d):**

after the mailing date of either a Final Office Action under 37 C.F.R. § 1.113 or a Notice of Allowance under 37 C.F.R. § 1.311, yet on or before payment of the issue fee.

1. ☒ See the certification below. A fee in the amount of \$180.00 is required by 37 C.F.R. § 1.17(p).

VI. CERTIFICATION UNDER 37 C.F.R. § 1.97(e): (check only one box)

The undersigned hereby certifies that:

A. ☒ each item of information contained in this IDS was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS (See 37 C.F.R. § 1.97(e)(1)). See further statement under 37 C.F.R. 1.704(d) below in section VII, if applicable; or

B. ☐ no item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this IDS (See 37 C.F.R. § 1.97(e)(2)).

C. ☐ some of the items of information were first cited in a communication from a foreign patent office. As to this information, the undersigned hereby certifies that each item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby certifies that no item of this remaining information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this IDS.

VII. STATEMENT UNDER 37 C.F.R. 1.704(d)

The undersigned hereby states that:

☒ each item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this IDS.

VIII. PAYMENT OF FEES (check only one box)

A. ☐ A check in the amount of \$180.00 is enclosed for the above identified fee.

B. ☒ Please charge Deposit Account No. 50-3213 in the amount of \$180.00 for the above-indicated fee.

The above references are being cited only in the interest of candor and without any admission that they constitute statutory prior art, contain matter which anticipates the invention, or which would render the same obvious, either singly or in combination, to a person of ordinary skill in the art. Furthermore, this Information Disclosure Statement shall not be construed as a representation that a search has been made.

If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule (with a petition if necessary) and charge the appropriate fee to Deposit Account No. 50-3213 (Epson R&D).

Please charge any additional fees or credit any overpayment pursuant to 37 C.F.R. § 1.16 or § 1.17 to Deposit Account No. 50-3213 (Epson R&D).

Respectfully submitted,

Dated: May 12, 2006

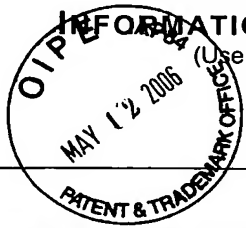
By: 

G. Gregory Schivley  
Reg. No. 27,382

Harness, Dickey & Pierce, P.L.C.  
P.O. Box 828  
Bloomfield Hills, Michigan 48303  
(248) 641-1600

GGs/slm

|  |                     |            |
|--|---------------------|------------|
| <b>FORM HDP-1449 (Based on Form PTO-1449)</b><br><br><b>PATENT AND TRADEMARK OFFICE</b><br><b>INFORMATION DISCLOSURE CITATION</b><br>(Use several sheets if necessary)<br><br>Sheet 1 of 1 | ATTORNEY DOCKET No. | SERIAL No. |
|  | 9319S-000590        | 10/732,899 |
|  | APPLICANT           |            |
|  | Keiji Takizawa      |            |
|  | FILING DATE         | GROUP      |
|  | December 10, 2003   | 2871       |



| U.S. PATENT DOCUMENTS |                     |                 |      |      |                 |                              |
|-----------------------|---------------------|-----------------|------|------|-----------------|------------------------------|
| Ref. Desig.           | Examiner's Initials | Document Number | Date | Name | Class/ Subclass | (If appropriate) Filing Date |
| 1.                    |                     |                 |      |      |                 |                              |

| FOREIGN PATENT DOCUMENTS |                     |                 |           |         |                 |                         |
|--------------------------|---------------------|-----------------|-----------|---------|-----------------|-------------------------|
| Ref. Desig.              | Examiner's Initials | Document Number | Date      | Country | Class/ Subclass | Translation *<br>Yes No |
| 1.                       |                     | 2000-267081     | 9/29/2000 | Japan   |                 | X                       |

| OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.) |                     |  |
|--|---------------------|--|
| Ref. Desig.  | Examiner's Initials |  |
| 1.   |                     | Communication from Japanese Patent Office re: related application. |

\*One or more of the English translation documents submitted herewith may be Abstracts only or partial machine created translations from the Japanese Patent Office. As such, the submitter does not necessarily vouch for their accuracy. Additional information may be obtained from the Japanese Patent Office web site at [www.jpo.go.jp](http://www.jpo.go.jp)

|           |                  |
|-----------|------------------|
| Examiner: | Date Considered: |
|-----------|------------------|

EXAMINER: Please initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

# FEE TRANSMITTAL for FY 2006

Effective 2/8/2006. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 180

Complete if Known

Application Number 10/732,899  
Filing Date December 10, 2003  
First Named Inventor Keiji Takizawa  
Examiner Name QI, Zhi Qiang  
Art Unit 2871  
Attorney Docket No. 9319S-000590

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number

50-3213

Deposit Account Name

Epson R & D

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity |          | Small Entity |          | Fee Description        | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                        |          |
| 1011         | 300      | 2011         | 150      | Utility filing fee     |          |
| 1012         | 200      | 2012         | 100      | Design filing fee      |          |
| 1013         | 200      | 2013         | 100      | Plant filing fee       |          |
| 1014         | 300      | 2014         | 150      | Reissue filing fee     |          |
| 1005         | 200      | 2005         | 100      | Provisional filing fee |          |
| SUBTOTAL (1) |          |              |          |                        | (\$ 0)   |

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| -20 **             | = 0          | X              | = 0      |
| Independent Claims | -3 **        | = 0            | X        |
| Multiple Dependent |              |                | = 0      |

| Large Entity |          | Small Entity |          | Fee Description  | Fee Paid |
|--------------|----------|--------------|----------|--|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |          |
| 1202         | 50       | 2202         | 25       | Claims in excess of 20                                     |          |
| 1201         | 200      | 2201         | 100      | Independent claims in excess of 3                          |          |
| 1203         | 360      | 2203         | 180      | Multiple dependent claim, if not paid                      |          |
| 1204         | 200      | 2204         | 100      | ** Reissue independent claims over original patent         |          |
| 1205         | 50       | 2205         | 25       | ** Reissue claims in excess of 20 and over original patent |          |
| SUBTOTAL (2) |          |              |          |  | (\$ 0)   |

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity |          | Small Entity |          | Fee Description  | Fee Paid |
|--------------|----------|--------------|----------|--|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |          |
| 1051         | 130      | 2051         | 65       | Surcharge - late filing fee or oath  |          |
| 1052         | 50       | 2052         | 25       | Surcharge - late provisional filing fee or cover sheet.                    |          |
| 1053         | 130      | 1053         | 130      | Non-English specification  |          |
| 1812         | 2,520    | 1812         | 2,520    | For filing a request for reexamination                                     |          |
| 1804         | 920*     | 1804         | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805         | 1,840*   | 1805         | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251         | 120      | 2251         | 60       | Extension for reply within first month                                     |          |
| 1252         | 450      | 2252         | 225      | Extension for reply within second month                                    |          |
| 1253         | 1020     | 2253         | 510      | Extension for reply within third month                                     |          |
| 1254         | 1,590    | 2254         | 795      | Extension for reply within fourth month                                    |          |
| 1255         | 2,160    | 2255         | 1080     | Extension for reply within fifth month                                     |          |
| 1401         | 500      | 2401         | 250      | Notice of Appeal   |          |
| 1402         | 500      | 2402         | 250      | Filing a brief in support of an appeal                                     |          |
| 1403         | 1000     | 2403         | 500      | Request for oral hearing   |          |
| 1452         | 500      | 2452         | 250      | Petition to revive - unavoidable   |          |
| 1453         | 1500     | 2453         | 750      | Petition to revive - unintentional   |          |
| 1462         | 400      | 1462         | 400      | Petition fee under 37 CFR 1.17(f)  |          |
| 1463         | 200      | 1463         | 200      | Petition fee under 37 CFR 1.17(g)  |          |
| 1464         | 130      | 1464         | 130      | Petition fee under 37 CFR 1.17(h)  |          |
| 1807         | 50       | 1807         | 50       | Processing fee under 37 CFR 1.17 (q)                                       |          |
| 1806         | 180      | 1806         | 180      | Submission of Information Disclosure Stmt                                  | 180      |
| 8021         | 40       | 8021         | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809         | 790      | 2809         | 395      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 1810         | 790      | 2810         | 395      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 1801         | 790      | 2801         | 395      | Request for Continued Examination (RCE)                                    |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 180)

### 4. SEARCH/EXAMINATION FEES

| Large Entity |          | Small Entity |          | Fee Description         | Fee Paid |
|--------------|----------|--------------|----------|-------------------------|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                         |          |
| 1111         | 500      | 2111         | 250      | Utility Search Fee      |          |
| 1112         | 100      | 2112         | 50       | Design Search Fee       |          |
| 1113         | 300      | 2113         | 150      | Plant Search Fee        |          |
| 1114         | 500      | 2114         | 250      | Reissue Search Fee      |          |
| 1311         | 200      | 2311         | 100      | Utility Examination Fee |          |
| 1312         | 130      | 2312         | 65       | Design Examination Fee  |          |
| 1313         | 160      | 2313         | 80       | Plant Examination Fee   |          |
| 1314         | 600      | 2314         | 300      | Reissue Examination Fee |          |
| SUBTOTAL (4) |          |              |          |                         | (\$ 0)   |

## SUBMITTED BY

Name (Print/Type) G. Gregory Schivley  
Signature

Registration No. (Attorney/Agent)

27,382

Telephone

248 641 1600

Date

May 12, 2006

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.